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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/173,821	10/16/1998	PHILIP SPENCER RUDLAND	32040PCTUSA-	4674

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BAKER & BOTTS  
30 ROCKEFELLER PLAZA  
NEW YORK, NY 101120228

EXAMINER
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KAUSHAL, SUMESH

ART UNIT	PAPER NUMBER
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1636

DATE MAILED: 07/21/2003

26

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/173,821

Applicant(s)

RUDLAND ET AL.

Examiner

Sumesh Kaushal Ph.D.

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 06 May 2003.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1,7,9,13,15-29,33 and 34 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 1,9,13,15-17 and 25-29 is/are allowed.
- 6) ☒ Claim(s) 7,18-24,33 and 34 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

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### ***DETAILED ACTION***

Applicant's response filed on 05/06/03 has been acknowledged.

*Claims 1, 13, 17 and 25 are amended*

*Claims 33 and 34 are newly filed claims.*

*Claims 1, 7, 9, 13, 15-29 and 33-34 are pending and were examined in this office action.*

*The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action. Rejections and/or objections not reiterated from previous office actions are hereby withdrawn. The references cited herein are of record in a prior Office action.*

► *Applicants are advised to follow Amendment Practice under revised 37 CFR §1.121 (<http://www.uspto.gov/web/offices/pac/dapp/opla/preognotice/revamdtprac.htm>). Each amendment document that includes a change to an existing claim, or submission of a new claim, **must include a complete listing of all claims** in the application. After each claim number, the status must be indicated in a parenthetical expression, and the text of each claim under examination (with markings to show current changes) must be presented. The listing will serve to replace all prior versions of the claims in the application.*

### ***Claim Rejections - 35 USC §112***

Claims 7, 18-24 and 33-34 stand rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for a transgenic rat encoding in their genome NS-LtsA58δt (*human NF-L gene promoter operatively linked to SV40tsA58*), does not reasonably provide enablement for a neuronal cell line obtained from a transgenic rat, a transgenic rat, and the method of producing the same, wherein the transgenic rat (as claimed) encodes in their genome C-erb-B-2 and TGFα operatively linked to a human NF-L gene promoter. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the invention commensurate in scope with these claims, for the same reasons of record as set forth in the earlier official action mailed on the 11/04/02.

### ***Response to arguments***

The applicant argues that the specification is enabled for the invention as claimed and one skill in the art would be able to exercise the invention as claimed with undue experimentation (response, pages 11-12). The applicant argues that given the applicants disclosure one skill in the

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art would be able to make and use a transgenic rat comprising human NF-L promoter operatively linked to e-erbB-2 gene or a TGF- $\alpha$  gene without undue experimentation. The applicant argues that it is improper to reject instant claims solely based upon lack of a working example (response, page 13).

However, this is not found persuasive because applicant's argument alone cannot take place of evidence lacking in the record (see *In re Scarbrough* 182 USPQ, (CCPA) 1979). The scope of the claims must bear a reasonable correlation with the scope of enablement (*In re Fisher*, 166 USPQ 19 24 (CCPA 1970)). It is important to note that, the scope of the instant claims include rats encoding human NF-L gene promoter operably linked to SV40tsA58, C-erb-B-2 or TGF $\alpha$ . At best the instant specification is only disclosed a transgenic rat encoding in their genome NS-LtsA58 $\delta$ t containing SV40tsA58 operatively linked a human neurofilament gene promoter NF-L (spec. page 30, table-3). In addition the specification teaches the development and breeding of a neuronal cell line NF2C (ECACC Acc. No. 96092754) derived from a NF-Lts58U $\delta$ t transgenic rat (page 30 table-3, page 28, table-2). Even though the specification disclosed transgenic rats encoding MMTVLTR-TGF $\alpha$  and MMTVLTR-C-erb-B-2, which contain MMTV-LTR promoter the specification fails to disclose a transgenic rat whose genome contain human NF-L gene promoter operatively linked to TGF $\alpha$  or C-erb-B-2 (spec. page 50, table-6).

The state of transgenic art at the time of filing was such that phenotype of an animal is determined by a complex interaction of genetics and environment. The transgene expression and physiological consequences of transgene products are not always accurately predictable because cis elements are controlled differently by various transacting factors in the genome of an animal. Furthermore, the lack of understanding of essential genetic control elements make it difficult to predict the behavior of a transgene in any and all animals because the expression is influenced by position effect in transgenic animals. The individual gene of interest, promoter, enhancer, coding or non-coding sequences present in the transgene construct and the site of integration, are the important factors that govern the expression of a transgene (see Wall RJ *Theriogenology* 45:57-68, 1996, ref. of record). Since the making transgenic rats wherein the human NF-L gene promoter is operatively linked to a conditional oncogene, transforming gene or immortalizing gene or cell cycle affecting gene like TGF $\alpha$  or C-erb-B-2 is not routine in the art experimentation

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left to those skilled in the art is unnecessarily, improperly, extensive and undue. See In re Wands 858 F.2d 731, 8 USPQ2d 1400 (Fed. Cir, 1988). It is noted that the unpredictability of a particular area may alone provide reasonable doubt as to the accuracy of the broad statement made in support of enablement of claims. See Ex parte Singh, 17 USPQ2d 1714 (BPAI 1991). In addition, the patent protection is granted in return for an enabling disclosure of an invention, not for vague intimations of general ideas that may or may not be workable (*See Brenner v. Manson*, 383 U.S. 519, 536, 148 USPQ 689, 696 (1966), *Stating, in context of the utility requirement, that "a patent is not a hunting license. It is not a reward for the search, but compensation for its successful conclusion"*) Tossing out the mere germ of an idea does not constitute enabling disclosure. While every aspect of a generic claim certainly need not have been carried out by an inventor, or exemplified in the specification, reasonable detail must be provided in order to enable members of the public to understand and carry out the invention. In instant case considering the applicant's disclosure and the unpredictability in the state of transgenic art, one skill in the art would have to engage in excessive and undue amount of experimentation to exercise the invention as claimed.

### ***Conclusion***

Claims 7, 18-24 and 33-34 are rejected.

Claims 1, 9, 13, 15-17 and 25-29 are allowable.

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event,

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however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Sumesh Kaushal Ph.D. whose telephone number is 703-305-6838. The examiner can normally be reached on Mon-Fri. from 9AM-5PM. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Yucel Irem Ph.D. can be reached on 703-305-1998. The fax phone numbers for the organization where this application or proceeding is assigned are 703-308-4242 for regular communications and 703-308-8724 for After Final communications. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-0196.

***S. Kaushal***  
PATENT EXAMINER

  
JEFFREY FREDMAN  
PRIMARY EXAMINER